



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/672,116	09/27/2000	Jivendra K. Kale	19748-000110US

20350  
TOWNSEND AND TOWNSEND AND CREW  
TWO EMBARCADERO CENTER  
EIGHTH FLOOR  
SAN FRANCISCO, CA 94111-3834



## FORMALITIES LETTER



\*OC000000005574254\*

Date Mailed: 11/24/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$354.
  - \$198 for 11 total claims over 20.
  - \$156 for 2 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

- The balance due by applicant is \$ 1174.

04/16/2001 NHASSANI 00000006 201430 09672116

01 FC:203 99.00 CH

A copy of this notice **MUST** be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09672116

201430

00000069

01/31/2001

01 FC:201

355.00 CH

60.00 CH

02 FC:202

03 FC:205

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Attorney Docket No.: 19748-1.10US

Assistant Commissioner for Patents  
Attn: Box Missing Parts  
Washington, D.C. 20231



On January 23, 2001

TOWNSEND and TOWNSEND and CREW LLP

By: *Diane Lawley*

### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

JIVENDRA K. KALE et al.

Application No.: 09/672,116

Filed: September 27, 2000

For: INVESTMENT PORTFOLIO  
CONSTRUCTION METHOD AND  
SYSTEM

Examiner: Not Assigned

Art Unit: Not Assigned

TRANSMITTAL LETTER –  
RESPONSE TO  
NOTICE OF MISSING PARTS

Attn: Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Non-Provisional Application dated November 24, 2000, enclosed are the following to be made of record in the above-identified application:

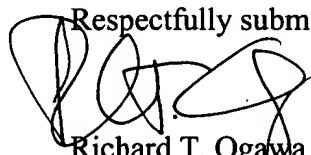
- 1) Executed Declaration and Power of Attorney
- 2) Verified Statement Claiming Small Entity Status
- 3) Copy of Notice of Missing Parts

Please charge Deposit Account No. 20-1430 for the following fees:

Small Entity:	(a) Filing Fee (§ 1.16(a)) (Small Entity)	\$355.00
	(b) Excess Claims Fees (§ 1.16(b), (c)):	

5 - 3 = 2	x \$40.00 =	\$80.00
(c) Missing Parts Surcharge		\$65.00
<b>TOTAL FEES TO BE CHARGED</b>		<b>\$599.00</b>

The Commissioner is hereby authorized to charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to Deposit Account No. 20-1430. This Transmittal Letter is submitted in triplicate.

Respectfully submitted,  
  
Richard T. Ogawa  
Reg. No. 37,692

**Customer No. 20350**

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: 650-326-2400  
Fax: 415 576-0300  
KRA:deh